

01-0702

A

01/03/02

JC893 U.S. PTO

Please type a plus sign (+) inside this box → ☐

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 728-221 (YOR9-2001-0603 US1)  
First Inventor LOUIS L. HSU  
Title HYBRID SUBSTRATE AND METHOD FOR  
Express Mail Label No. EL 913582613 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification [Total Pages 10]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]
- Oath or Declaration [Total Pages 6]
  - ☒ Newly executed (original or copy)
  - ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☒ Application Data Sheet. See 37 CFR 1.76

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☐ paper
  - ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☒ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☒ Other: Associate Power of Attorney

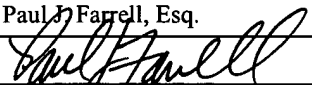
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_  
Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

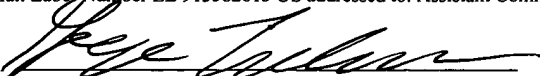
<input type="checkbox"/> Customer Number or Bar Code Label	<input checked="" type="checkbox"/> Correspondence address below			
Name	Paul J. Farrell, Esq.			
Address	DILWORTH & BARRESE, LLP 333 Earle Ovington Blvd.			
City	Uniondale	State	New York	Zip Code 11553
Country	U.S.A.	Telephone	(516) 228-8484	Fax (516) 228-8516

Name (Print/Type)	Paul J. Farrell, Esq.	Registration No. (Attorney/Agent)	33,494
Signature		Date	1/3/02

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this correspondence and the documents referred to as enclosed are being deposited with the United States Postal Service on date below in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL 913582613 US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Dated: 1/3/02

  
George Likourezos

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ ) 780.00

## Complete if Known

Application Number	
Filing Date	January 3, 2002
First Named Inventor	LOUIS L. HSU
Examiner Name	
Group Art Unit	
Attorney Docket No.	728-221 (YOR9-2001-0603 US1)

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 50-0510/IBM (Yorktown Heights)  
Deposit Account Name: IBM (Yorktown Heights)

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	\$740.00
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$ ) 740.00

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
18	-20** = 0	\$18	\$0
2	-3** = 0	\$84	\$0
Multiple Dependent		\$280	\$0

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ ) 0.00

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

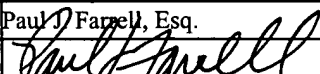
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	\$40
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 40.00

## SUBMITTED BY

Name (Print/Type)	Paul J. Farrell, Esq.	Registration No. (Attorney/Agent)	33,494	Telephone	(516) 228-8484
Signature		Date	1/3/02		

## CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

I hereby certify that this correspondence and the documents referred to as enclosed herein are being deposited with the United States Postal Service on date below in an envelope as "Express Mail Post Office to Addressee" Mail Label No. EL 913582613 US addressed to Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Dated: 1/3/02

George Likourezos

PATENT

Atty. Docket No. 728-221 (YOR9-2001-0603 US1)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**BOX PATENT APPLICATION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

UTILITY APPLICATION DATA SHEET UNDER 37 C.F.R. § 1.76

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): LOUIS L. HSU and LI-KONG WANG

For: HYBRID SUBSTRATE AND METHOD FOR FABRICATING  
THE SAME

Enclosed are:

- [X] 10 page(s) of specification  
(including **claims** and **abstract**)
- [X] 2 sheets of drawings [X] formal [ ] informal
- [X] 6 page(s) of Declaration and Power of Attorney
- [X] 4 page(s) An Assignment of the invention  
(including **Recordation Form Cover Sheet**)
- [X] 1 page(s) Associate Power of Attorney

Assignee Name: INTERNATIONAL BUSINESS MACHINES CORPORATION

Assignee Residence: Armonk, New York

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date January 3, 2002 in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL 913582613 US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

George Likourezos  
(Type or print name of person mailing paper)

  
(Signature of person mailing paper)

[ ] This application claims the benefit under 35 U.S.C. §119(e) of U.S. Provisional Application(s) No(s):

APPLICATION NO(S):

FILING DATE

\_\_\_\_/\_\_\_\_

\_\_\_\_\_

\_\_\_\_/\_\_\_\_

\_\_\_\_\_

[ ] Certified copy of applications

Country

Appln. No.

Filed

from which priority under Title 35 United States Code, § 119

is claimed

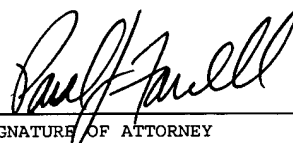
[ ] is enclosed.

[ ] will follow.

[X] Address all future correspondence to:

Paul J. Farrell, Esq.  
DILWORTH & BARRESE LLP  
333 Earle Ovington Boulevard  
Uniondale, New York 11553  
(516) 228-8484

Date: January 3, 2002

  
\_\_\_\_\_  
SIGNATURE OF ATTORNEY

Paul J. Farrell

Reg. No. 33,494

DILWORTH & BARRESE LLP  
333 Earle Ovington Blvd.  
Uniondale, NY 11553  
Tel. No. (516) 228-8484  
Fax (516) 228-8516

Washington, D.C. 20231  
Sir:Date: January 3, 2002  
Express Mail Label: EL 913582613 US  
Date of Deposit: January 3, 2002

Transmitted herewith for filing is the Patent Application of:

Inventors: LOUIS L. HSU and LI-KONG WANGFor: HYBRID SUBSTRATE AND METHOD FOR FABRICATING THE SAMEEnclosed are: ☒ 6 sheets of specification; ☒ 1 sheet(s) of Abstract;  
☒ 3 sheet(s) of claims; ☒ 2 sheet(s) of drawing(s);☒ An assignment of the invention to International Business Machines Corporation with Recordation Form.☒ Declaration and Power of Attorney.☐ A certified copy of a \_\_\_\_\_ application, from which priority under Title 35 USC §119 is claimed.☒ Associate Power of Attorney.

The filing fee has been calculated as shown below:

OTHER THAN A  
SMALL ENTITY

	(Col. 1)	(Col. 2)
FOR:	NO. FILED	NO. EXTRA
BASIC FEE		
TOTAL CLAIMS	18 -20 =	0
INDEP CLAIMS	2 -3 =	0
MULTIPLE DEPENDENT CLAIMS PRESENTED		

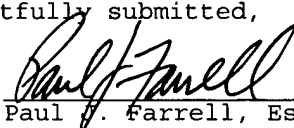
RATE	FEE
	\$ 740.00
X \$18 =	00.00
X \$84 =	00.00
+ 280 =	
TOTAL	\$ 740.00

If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

☐ A check in the amount of \$ \_\_\_\_\_ to cover the ☐ filing fee(s) and a check to cover the ☐ recording fee are enclosed.☒ Please charge my Deposit Account No. 50-0510 in the amount of \$780.00.☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0510/IBM (Yorktown Heights). A duplicate copy of this sheet is enclosed.☒ Any additional filing fees required under 37 CFR 1.16.☒ Any patent application processing fees under 35 CFR 1.17.

Respectfully submitted,

By:

  
Paul J. Farrell, Esq.  
Registration No. 40,067Please address all  
correspondence to:  
DILWORTH & BARRESE, LLP  
333 Earle Ovington Boulevard  
Uniondale, NY 11553  
Tel: (516) 228-8484  
Fax: (516) 228-8516Attorney for:  
IBM Corporation  
Intellectual Property Law Dept.  
P.O. Box 218  
Yorktown Heights, NY 10598

## CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date January 3, 2002 in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL 913582613 US addressed to: BOX PATENT APPLICATION, Assistant Commissioner for Patents, Box PATENT APPLICATION, Washington, D.C. 20231.  
George Likourezos